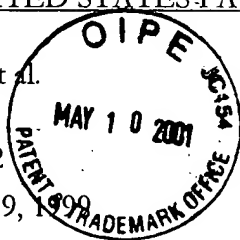


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#9
Dai
5/16/01

Applicant: Gruenert et al. Assignee: The Regents of the University of California
Serial No.: 09/392,682 Examiner: B. Loeb
Filed: September 9, 1999 Group Art Unit: 1636
Docket: G&C 30448.97-US-12
Title: GENE THERAPY BY SMALL FRAGMENT HOMOLOGOUS REPLACEMENT



RECEIVED

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TECH CENTER 1600/2900

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on

7 May 2001

By: Karen S. Canady

Name: Karen S. Canady

REVOCATION AND POWER OF ATTORNEY

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Please revoke the existing Powers of Attorney, if any, and appoint the following attorneys and/or patent agents to prosecute this application and to transact all business in the U.S. Patent and Trademark Office in connection therewith:

George H. Gates	Registration No. 33,500
Victor G. Cooper	Registration No. 39,641
Karen S. Canady	Registration No. 39,927
William J. Wood	Registration No. 42,236
Jason S. Feldmar	Registration No. 39,187
Bradley K. Lortz	Registration No. 45,472

Please direct all correspondence in this application to Karen S. Canady at:

Gates & Cooper LLP
Howard Hughes Center
6701 Center Drive West, Suite 1050
Los Angeles, California 90045
Telephone: (310) 641-8797

The Regents of the University of California, as assignee, declares that 100% ownership is

established for the above-referenced invention, and patent application. A Certificate under 37 C.F.R. 3.73(b) is enclosed.

Respectfully submitted,

The Regents of the University of California

Dated: 5/1/01

By: Linda S. Stevenson
Linda S. Stevenson
Manager, Patent Prosecution
UC Case No. 92-070-4

S/N 09/392,682



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: _____ Examiner: B. Loeb
Serial No.: 09/392,682 Group Art Unit: 1636
Filed: September 9, 1999 Docket: G&C 30448.97-US-~~12~~ D1
Title: GENE THERAPY BY SMALL FRAGMENT HOMOLOGOUS
REPLACEMENT

RECEIVED
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TECH CENTER 1600/2900

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, a corporation organized and existing under the laws of the State of California, having a place of business at 1111 Franklin Street, 12th Floor, Oakland, California 94607, certifies that it is the assignee of the entire right, title, and interest in the patent application identified above by virtue of:

An assignment from the inventor(s), Dieter C. Gruenert and Karl Kunzelmann to The Regents of the University of California, of the patent application identified above. The assignment was recorded in the U.S. Patent and Trademark Office on October 26, 1992 at Reel 6454, Frame 0468 (copy attached).

The Regents of the University of California owns 100% interest in the above-identified patent application.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, as the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 5/1/01

By: Linda S. Stevenson
Name: Linda S. Stevenson
Title: Manager, Patent Prosecution



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

DATE: 04/14/93
TO:
VIVIANA AMZEL
FISHER & AMZEL
1320 HARBOR BAY PARKWAY
SUITE 225
ALAMEDA, CA 94501

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT BRANCH OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE U.S. PATENT AND TRADEMARK OFFICE ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT ASSIGNMENT PROCESSING SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT BRANCH, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231

ASSIGNOR:
GRUENERT, DIETER, C.

DOC DATE: 10/02/92

ASSIGNOR:
KUNZELMANN, KARL

DOC DATE: 10/02/92

RECORDATION DATE: 10/26/92 NUMBER OF PAGES 005 REEL/FRAME 6454/0468

DIGEST :ASSIGNMENT OF ASSIGNORS INTEREST

ASSIGNEE:
REGENTS OF THE UNIV. OF CALIFORNIA, THE
300 LAKESIDE DRIVE, 22ND FLOOR
OAKLAND, CA 94612-3550

SERIAL NUMBER 7-933471 FILING DATE 08/21/92
PATENT NUMBER ISSUE DATE 00/00/00

EXAMINER/PARALEGAL

ASSIGNMENT BRANCH
ASSIGNMENT/CERTIFICATION SERVICES DIVISION

FORM PTO-1588

Box Assignments

RECORDATION FORM COVER SHEET
PATENTS ONLY

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

(1) Name of conveying party(ies):

Gruenert, Dieter C. and
Kunzelmann, KarlAdditional name(s) of conveying party(ies) attached? ☐ Yes
☐ No

(3) Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: October 2, 1992

(2) Name and address of receiving party(ies):

THE REGENTS OF THE
First Name: UNIV. OF CALIFORNIAAddress: 300 Lakeside Drive,
22nd Floor, OaklandCA ZIP: 94612-3550

Second Name: _____

Address: _____
ZIP: _____Additional name(s) & addresses attached? ☐ Yes ☒ No

(4) Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 10/2/92

A. Patent Application No.(s)

B. Patent No.(s)

07/933,471

Additional numbers attached? ☐ Yes ☐ No(5) Name and address of party to whom
correspondence concerning document
should be mailed:Viviana Amzel
FISHER & AMZEL
1320 Harbor Bay Parkway
Suite 225
Alameda, CA 94501
Ph: (510) 748-6868
Fax: (510) 748-6688(6) Total number of applications
and patents involved: 1(7) Total fee (37 CFR 3.41).....\$ 40.00☐ Check Enclosed☒ Authorized to be charged
to deposit account(8) Deposit Account No: 21-0649/90-0701

(Attach duplicate copy of this page if paying by deposit account)

(9) Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and
correct and any attached copy is a true copy of the original document.*

Viviana Amzel, Ph.D.

Date

Total number of pages
comprising cover sheet: 1/15

93346338

UCSF-0008



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: : Appl. Ref.No:
Gruenert, D. C., et al. : UC 92-070-1
Serial No: : Group Art Unit:
Filed: : Examiner:

Title: COMPOSITION AND METHOD FOR ALTERING DNA
SEQUENCES BY HOMOLOGOUS RECOMBINATION

ASSIGNMENT OF ENTIRE RIGHT, TITLE AND INTEREST

This Assignment, by Dieter C. Gruenert and Karl Kunzelmann, hereinafter referred to as the assignor, residing at 130 Cascade Drive, Mill Valley, California 94941, and 1343 Third Avenue, San Francisco, California 95211, witnesseth

WHEREAS, the said assignors have invented certain new and useful improvements in COMPOSITION AND METHOD FORM ALTERING DNA SEQUENCES BY HOMOLOGOUS RECOMBINATION set forth in an application for Letters Patent of the United States,

- ☒ [X] having an Oath or Declaration executed on even date herewith;
- ☐ [] bearing Serial No. _____ and filed on _____;
- ☐ [] issued as Patent No. _____ on _____; and

Whereas, THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, a corporation duly organized under and pursuant to the laws of CALIFORNIA, and having its principal place of business at 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

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6940

NOW, THEREFORE, in consideration of One (1.00) Dollar, and in consideration of the benefits stipulated in the applicable "University of California Patent Policy", and in fulfillment of our Patent Agreement with the University of California, and other good and sufficient considerations, the receipt of which is hereby acknowledged, the said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said applications, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the said assignee, for its own use and behoof and the use and behoof of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made; AND

for the same consideration, the said assignors hereby covenant and agree to and with the said assignee, its successor(s), legal representative(s) and assign(s), that, at the time of execution and delivery of these presents, the said assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions, and the application for Letters Patent above mentioned, and that the same are unencumbered and that the said assignor has good and full right and lawful authority to sell and convey the same in the manner herein set forth; AND

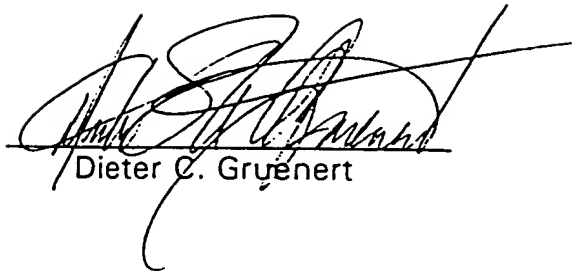
for the same consideration, the said assignors hereby covenant and agree to and with the said assignee, its successor(s), legal representative(s) and assign(s), that the said assignors will, whenever counsel of the said assignee, or the counsel of its successor(s), legal representative(s) and assign(s), shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letter Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignors, its successor(s), legal representative(s) and assign(s), but at the cost and expense of the said assignee, its successor(s), legal representative(s) and assign(s); AND

the said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to the said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use and behoof of the said assignee, its successor(s), legal representative(s) and assign(s).

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0470

10.2.92
Date


Dieter C. Gruenert

On October 2, 1992, before me, the undersigned, a Notary Public in and for said State, personally appeared Dieter C. Gruenert, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged that he/she executed the same.

WITNESS my hand and official seal.




Notary Public

STATE OF CALIFORNIA)
COUNTY OF San Francisco)

REEL
6454
FRAME
0471

10/2/92

Date

Karl Kunzelmann
Karl Kunzelmann

On October 2, 1992, before me, the undersigned, a Notary Public in and for said State, personally appeared Karl Kunzelmann, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged that he/she executed the same.

WITNESS my hand and official seal.



Miriam Ann Rogow
Notary Public

STATE OF CALIFORNIA)
COUNTY OF San Francisco)

RECORDED
PATENT & TRADEMARK OFFICE
OCT 26 92

6454 REEL
0472 FRAME